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Receipt
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

MAY 3 - 1999

Group 2700

Applicant: Carlson et al.
Assignee: Maxtor Corporation
Title: METHOD AND APPARATUS FOR DETECTING HEAD
FLYING HEIGHT IN A DISK DRIVE
Serial No.: 09/224,202 Filed: December 30, 1998
Examiner: Unknown Group Art Unit: 2754
Atty. Docket No.: 3123-233-1

Application Processing Division, Customer Correction Branch
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Attached is a copy of the official filing receipt received from the Patent and Trademark Office in the captioned-application for which a corrected filing receipt is respectfully requested.

The filing receipt fails to indicate that the captioned-application is a continuation of prior U.S. Application Serial No. 08/764,340, filed December 12, 1996. This was indicated on the Transmittal which accompanied the captioned-application. A copy of the Transmittal is attached.

The correction is not due to any error by the Applicant and no fee is due.

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231,

on Feb. 10, 1999.

D. Sigmond

David M. Sigmond
Attorney for Applicant

2, 10, 99

Date of Signature

Respectfully submitted,

D. Sigmond

David M. Sigmond
Attorney for Applicant
Reg. No. 34,013
(303) 702-4132
(303) 678-3111 (fax)

FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/224,202	12/30/98	2754	\$0.00	3123-233-1	9	20	2

DAVID M SIGMOND
MAXTOR CORPORATION
2190 MILLER DRIVE
LONGMONT CO 80501

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

LANCE R. CARLSON, LONGMONT, CO; JEFFREY L. WHALEY,
BOULDER, CO; ROBERT L. METZ, WESTMINISTER, CO.

FOREIGN FILING LICENSE GRANTED 01/30/99

TITLE

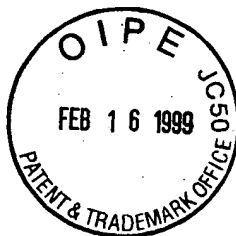
METHOD AND APPARATUS FOR DETECTING HEAD FLYING HEIGHT IN A DISK DRIVE

PRELIMINARY CLASS: 360

RECEIVED

MAY 3 - 1999

Group 2700



DATA ENTRY BY: HARRISON, BRUCE

TEAM: 05 DATE: 02/02/99

UTILITY CON TION PATENT APPLICATION SMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 3123-233-1

Inventors: Lance R. Carlson of 7949 E. Sussex Court, Longmont, Colorado 80503
 Jeffrey L. Whaley of 3946 Arbol Court, Boulder, Colorado 80301
 Robert L. Metz of 9052 Perry Street, Westminster, Colorado 80030

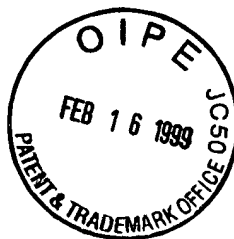
Express Mail Label No.: EM552805705US

Title: "METHOD AND APPARATUS FOR DETECTING HEAD FLYING HEIGHT IN A DISK DRIVE"

Prior Group Art Unit: 2753

Prior Examiner: CULLEN, L.

Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231



This is a Continuation application of pending prior application No. 08/764,340 filed December 12, 1996. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference.

Enclosed for filing with the above-identified utility patent application, please find the following:

1. ☒ Copy of the entire Specification of the prior application as originally filed (49 pages of text and 9 drawing sheets comprising Figs. 1-9)
2. ☒ Copy of Oath/Declaration from the above-referenced pending prior application (37 CFR 1.63(d))
3. ☐ Assignment Papers (cover sheet & document(s))
4. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
5. ☐ Power of Attorney
6. ☐ Information Disclosure Statement (IDS/PTO-1449)
7. ☐ Copies of IDS Citations (Number of References:)
8. ☒ Preliminary Amendment
9. ☒ Return Postcard (MPEP 503) (should be specifically itemized)
10. ☐ Small Entity Statement(s)
11. ☐ Other:

FEE CALCULATION:

	(COL. 1) NO. FILED			(COL. 2*) NO. EXTRA	SMALL ENTITY			LARGE ENTITY	
					RATE	FEE		RATE	FEE
BASIC FEE:						\$380.00	OR		\$760.00
TOTAL CLAIMS:	20	-	20		X \$9 =		OR	X \$18 =	
INDEP. CLAIMS:	2	-	3		X \$39 =		OR	X \$78 =	
MULTIPLE DEPENDENT CLAIMS					+ \$130 =		OR	+\$260 =	
*IF THE DIFFERENCE IN COL. 2 IS LESS THAN ZERO, ENTER "0" IN COL. 2.					TOTAL:				

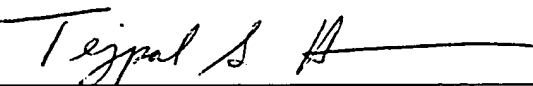
OTHER INFORMATION:

1. ☒ **FILING FEE IS NOT ENCLOSED AT THIS TIME.**
2. ☒ The Commissioner is hereby authorized to charge all required fees for extensions of time under §1.17 to Deposit Account No. 19-1970.
3. ☐ Foreign Priority benefits are claimed under 35 U.S.C. §119 of Patent Application Serial No. filed
4. ☒ The Power of Attorney appears in the original papers of the prior pending application.
5. ☒ The prior application is assigned to MAXTOR CORPORATION.
6. ☐ This application is being filed by less than all of the inventors named in the pending prior application. The Commissioner is requested to delete the name(s) of the following person(s) from the prior application who are not inventors being claimed in the application: .
7. ☒ **PLEASE CHANGE THE CORRESPONDENCE ADDRESS TO:**

David M. Sigmond, Esq.
Maxtor Corporation
2190 Miller Drive
Longmont, CO 80501

Respectfully Submitted,

SHERIDAN ROSS P.C.



Tejpal S. Hansra
Registration No. 38,172

Date: Dec. 30, 1998

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Carlson et al.
Assignee: Maxtor Corporation

Title: METHOD AND APPARATUS FOR DETECTING HEAD
FLYING HEIGHT IN A DISK DRIVE

Serial No.: 09/224,202 Filed: December 30, 1998
Examiner: Unknown Group Art Unit: 2754
Atty. Docket No.: 3123-233-1



ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

TRANSMITTAL OF FORMAL DRAWINGS

Attached please find the formal drawings (9 sheets) for this application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231,	
on <u>Feb 9</u> , 1999.	
<u>D. Sigmond</u>	<u>2, 9, 99</u>
David M. Sigmond Attorney for Applicant	Date of Signature

Respectfully submitted,

D. Sigmond

David M. Sigmond
Attorney for Applicant
Reg. No. 34,013
(303) 702-4132
(303) 678-3111 (fax)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Carlson et al.

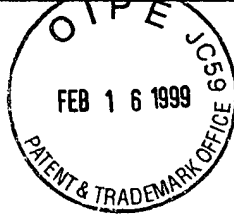
Assignee: Maxtor Corporation

Title: METHOD AND APPARATUS FOR DETECTING HEAD
FLYING HEIGHT IN A DISK DRIVE

Serial No.: 09/224,202 Filed: December 30, 1998

Examiner: Unknown Group Art Unit: 2754

Atty. Docket No.: 3123-233-1




ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

**STATEMENT UNDER 37 C.F.R. § 3.73(B)
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

Maxtor Corporation is the assignee of the entire interest in the above-identified application by virtue of an Assignment from the inventor of the above-identified application in prior U.S. Application Serial No. 08/764,340, filed December 12, 1996. The above-identified application is a continuation of the prior application. Therefore, the Assignment for the prior application carries over into the above-identified application. The Assignment was recorded in the Patent and Trademark Office at Reel 8497, Frame 0206.

The assignee seeks to take action in the Patent and Trademark Office in this matter. The undersigned is empowered to sign this Statement on behalf of the assignee.

By: 
Carlotta Barr-Smith
Assistant Secretary
Maxtor Corporation

Date: Feb 9, 1999

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231,

on Feb 9, 1999.

D Sigmond

David M. Sigmond
Attorney for Applicant

2, 9, 99

Date of Signature

9200 Sector \$

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Carlson et al.

Assignee: Maxtor Corporation

Title: METHOD AND APPARATUS FOR DETECTING HEAD
FLYING HEIGHT IN A DISK DRIVE

Serial No.: 09/224,202 Filed: December 30, 1998

Examiner: Unknown Group Art Unit: 2754

Atty. Docket No.: 3123-233-1

(Circular stamp: OFFICE JCS FEB 16 1999 PATENT & TRADEMARK OFFICE)

Box Missing Parts
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION**

In response to the Notice to File Missing Parts of Application dated February 3, 1999,
please charge the \$890 fee to Deposit Account No. 13-0016/233-1 and charge any underpayment
or credit any overpayment to this Account.

This Response is filed within two months from the date of the Notice. A copy of the
Notice is attached hereto.

I hereby certify that this correspondence is being deposited with
the United States Postal Service as First Class Mail in an
envelope addressed to: Assistant Commissioner for Patents,
Washington, D.C. 20231,

on Feb 9, 1999.

David M. Sigmond

David M. Sigmond
Attorney for Applicant

2/9/99

Date of Signature

Respectfully submitted,

David M. Sigmond

David M. Sigmond
Attorney for Applicant
Reg. No. 34,013
(303) 702-4132
(303) 678-3111 (fax)



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARK
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/224,202 12/30/98 CARLSON

DAVID M SIGMOND
MAXTOR CORPORATION
2190 MILLER DRIVE
LONGMONT CO 80501



NOT ASSIGNED

DATE MAILED: 2754

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

02/03/99

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 890.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.

\$ _____ for _____ independent claims over 3.

\$ _____ for _____ dependent claims over 20.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing or unexecuted.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

HARRISON T-C
Customer Service Center
Initial Patent Examination Division (703) 308-1202

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130.00 CH

01 FC:101
02 FC:105